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IN THE UNITED STATES DESIGNATED/ELECTED OFFICE

International Application No. : PCT/EP2004/006057  
International Filing Date : June 5, 2004  
Priority Date(s) Claimed : June 7, 2003  
Applicant(s) (DO/EO/US) : Juergen WESTERMANN et al.

Title: PROTECTED 5,7-DIHYDROXY-4,4-DIMETHYL-3-OXOHEPTANOIC ACID ESTERS AND 5,7-DIHYDROXY-2-ALKYL-4,4-DIMETHYL-3-OXOHEPTANOIC ACID ESTERS FOR SYNTHESIZING EPOTHILONES AND DERIVATIVES DERIVATIVES AND METHODS FOR PRODUCING THESE ESTERS

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §§ 1.56, 1.97 and 1.98

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This information disclosure statement is made in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98 as follows:

Timing and Fees

Under 37 C.F.R. § 1.97(b), no fee or statement is required for filing this information disclosure statement is filed:

within three months of the filing date of a national application other than a CPA under § 1.53(d);

within three months of the actual filing date of the national phase of a PCT application; OR

before the mailing of a first substantive office action (including after filing of an RCE).

Under 37 C.F.R. § 1.97(c), this information disclosure statement is filed after the periods specified in 37 C.F.R. § 1.97(b), but before the mailing date of:

a final rejection under 37 C.F.R. 1.113;  
termination of prosecution, e.g. Ex Parte Quayle, M.P.E.P. § 609(B)(2); OR  
a notice of allowance under 37 C.F.R. § 1.311; and

is accompanied by:

- the statement as specified in 37 C.F.R. § 1.97(e) set out below; OR
- a check covering the fee of \$180.00 under 37 C.F.R. § 1.17(p).

Under 37 C.F.R. § 1.97(d), this information disclosure statement is filed after the mailing date of the following actions which have not been withdrawn:

- a final action under 37 C.F.R. § 1.113;
- termination of prosecution, e.g. Ex Parte Quayle, M.P.E.P. § 609(B)(2);
- OR a notice of allowance under 37 C.F.R. § 1.311;

AND is filed on or before payment of the issue fee; AND is accompanied by:

the statement as specified in 37 C.F.R. § 1.97(e) as set forth below, and the fee of \$180.00 under 37 C.F.R. § 1.17(p).

#### Statements Under 37 C.F.R. 1.97(e)

- Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application having a mailing date not more than three months prior to the filing date of this information disclosure statement; or
- No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the undersigned attorney after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing date of the information disclosure statement.

#### Cited Materials

- Copies of materials listed but not attached were cited in benefit (35 U.S.C. § 120) ancestor application Serial No. \_\_\_\_\_, on Form 892 by the Examiner and/or Form 1449 by the applicant; see 37 C.F.R. § 1.98(d).
- Copies of materials listed but not attached were cited in an international search report dated November 2, 2004.
- Not required by 37 CFR § 1.98.
- Copies of the materials listed are attached (except for the foregoing).

Non-English Language References

An English-language search report or equivalent paper from a foreign patent office is provided indicating the relevance of the cited reference(s).

A foreign-language search report from a foreign patent office is provided, and pertinent parts are translated substantively below:

X = document of particular relevance when it is taken alone

Y = document of particular relevance when it is combined with another such document

A = document defining the general state of the art

O = non-written disclosure

P = intercalated document

T = document cited to understand the theory or principle underlying the invention

E = patent document which has the benefit of a date earlier than the filing date and which was published only on or after this filing date

D = cited in the application

L = cited for another reason

& = publication of member of same patent family

Translation of other relevant information on foreign search report

[insert necessary translation here]

Other Information

Payment of Fees Due (If Any):

A check for \$\_\_\_\_\_ covering the fee identified above is attached.

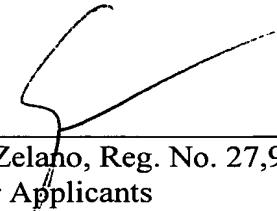
Please charge to Deposit Account No. 13-3402 \$\_\_\_\_\_ for the fee identified above.

80/559389

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The Commissioner is hereby authorized to charge or credit any overpayment to Deposit Account #13-3402, two copies of this paper are attached for this purpose.

Respectfully submitted,

  
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Attorney for Applicants

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Attorney Docket No.: SCH-2113

Date: December 6, 2005

AJZ:aap

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PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO		Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Application Number	PCT/EP2004/006052 29369
(use as many sheets as necessary)		Filing Date	December 6, 2005
		First Named Inventor	Juergen WESTERMANN et al.
		Group Art Unit	Unassigned
		Examiner Name	Unassigned
Sheet	1	of	2
		Attorney Docket Number	SCH-2113

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)			
	4	WO	03053949		Schering AG	July 3, 2003	
	5	WO	030014063		Schering AG	February 20, 2003	
	6	DE	10041470		Schering AG	February 28, 2002	
	7	WO	0058254		Univ Kansas	October 5, 2000	

<b>Examiner Signature</b>		<b>Date Considered</b>	
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**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached. Number refers to English language corresponding family member.

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## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

*(use as many sheets as necessary)*

Sheet 2 of 2

Complete if Known 10300

Application Number PCT/EP2004/006057

Filing Date December 6, 2005

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First Named Inventor Juergen WESTERMANN et al.

Group Art Unit | Unassigned

Examiner Name	Unassigned
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Attorney Docket Number SCH-2113

Attorney Docket Number: SCI-2113

11. *What is the primary purpose of the following statement?*

## LITERATURE DOCUMENTS

Digitized by srujanika@gmail.com

(BS), title of the article (when appropriate), title of the item (book, magazine, etc.)

## NON-PATENT LITERATURE DOCUMENTS

Examiner Signature		Date Considered	
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**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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